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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Phoenix, Arizona

April 25, 2002

**Applicant:** James K. Guenter et al.    **Group:** 2881  
**Serial No.:** 09/577,034    **Examiner:** t.b.d.  
**Filed:** 05/23/2000    **Atty Docket No.:** M40 26373 US  
**For:** SYSTEM AND METHOD FOR VCSEL POLARIZATION CONTROL

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 J-McMullen  
 6/27/02

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
 Washington, D.C. 20231

Dear Sir:

The following sections are being submitted for this Supplemental Information Disclosure Statement:

## 1. Preliminary Statements.

Applicant(s) submits herewith additional patents, publications or other information as the result of an International Search Report, that they believe may be material to the patentability of the claims under consideration in this application and in respect of which there may be a duty to disclose under 37 C.F.R. § 1.56.

The filing of this Supplemental Information Disclosure Statement shall not be construed as a representation that a search has been made (37 CFR § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56 (37 C.F.R. § 1.97(h)), or that no other material information exists.

The filing of this Supplemental Information Disclosure Statement is not to be construed as a representation that the references are prior art within the meaning of 35 U.S.C. §§ 102 or 103. Further, any explanation, if provided, is not to be construed as a representation that the references have been thoroughly reviewed. In particular, no representation as to the relevance of any portion of any reference is intended.

The filing of this Supplemental Information Disclosure Statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

2. Form PTO-1449, List of Prior Art Cited by Applicant, citing four foreign patent, and three publications.

3. Attached to this Supplemental Information Disclosure Statement is a copy of the International Search Report in the corresponding International Application, along with the cited references, for consideration by the U.S. Patent and Trademark Office. Copies of the references listed in the International Search Report that have not been

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provided are believed to define the general state of the art and are not considered to be of particular relevance.

4. These references are in addition to those listed in the Supplemental Information Disclosure Statement and Form PTO 1449 filed with the U.S.P.T.O. on 05/23/2000.

5. Statement in accordance with 37 C.F.R. § 1.97(e):

☒ (1) Each item of information contained in the Supplemental Information Disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the Supplemental Information Disclosure statement; or

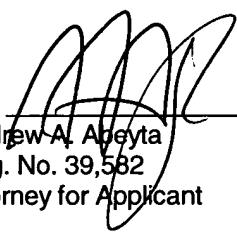
☐ (2) No item of information contained in the Supplemental Information Disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the Supplemental Information Disclosure statement after making reasonable inquiry, no item of information contained in the Supplemental Information Disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Supplemental Information Disclosure statement.

6. The person making this statement is the attorney who signs below on the basis of the information supplied by the inventor(s) and the information in the attorney's file.

7. The Office is authorized to charge Applicant's Deposit Account 01-1125 for any fee that may be due under 37 C.F.R. § 1.17(p) for consideration of this IDS and for any other fee that may be due.

Telephone: 602.313.3345  
Facsimile: 602.313.4559

Honeywell International Inc. (Assignee)  
101 Columbia Road  
P.O. Box 2245  
Morristown, NJ 07962

By:  4/25/02  
Andrew A. Abeyta  
Reg. No. 39,582  
Attorney for Applicant

#### CERTIFICATE OF MAILING

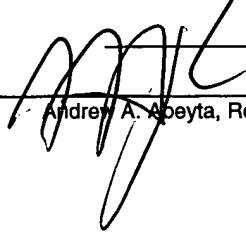
I hereby certify that this correspondence (along with any paper referred to as being attached or enclosed) is being deposited on the date shown below addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231:

☒ 37 CFR 1.8(a)(1)(A)  
With the United States Postal Service  
with sufficient postage as first class  
mail in an envelope.

☐ 37 CFR 1.8(a)(1)(B)  
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Dated: 4/25/02

  
Andrew A. Abeyta, Reg. No. 39,582